

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Whaley, Robert H.	2. Court or Organization United States District Court	3. Date of Report 11/05/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address United States District Court P.O. Box 1493 Spokane, WA 99210-1493		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. University Trustee	Eastern Washington University
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Whaley, Robert H.

Date of Report

11/05/2015

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2014	Eastern Washington University, Trustee Salary	\$5,597.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Whaley, Robert H.

Date of Report

11/05/2015

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Mass Mutual	Loan	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Whaley, Robert H.

Date of Report

11/05/2015

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. FIDELITY INVESTMENTS ULTRA ACCOUNT:									
2. -Core Cash Account	A	Interest	J	T					
3.									
4. FRANKLIN TEMPLETON:									
5. -Templeton Developing Mkts Trust Mut Fd	A	Dividend	J	T					
6.									
7. BNY MELLON:									
8. -Occidental Petroleum Corp. Common Stock	A	Dividend	J	T					
9.									
10. FIDELITY EDUCATION ACCOUNT:									
11. -NH Aggressive Growth Portfolio (Fidelity FDS)		None	J	T	Buy (add'l)	01/30/14	J		
12.					Buy (add'l)	02/27/14	J		
13.					Buy (add'l)	03/31/14	J		
14.					Buy (add'l)	04/30/14	J		
15.					Buy (add'l)	05/30/14	J		
16.					Buy (add'l)	06/30/14	J		
17.					Buy (add'l)	07/31/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18.					Buy (add'l)	08/29/14	J		
19.					Buy (add'l)	09/30/14	J		
20.					Buy (add'l)	10/30/14	J		
21.					Buy (add'l)	11/28/14	J		
22.					Buy (add'l)	12/31/14	J		
23.									
24.	FIDELITY EDUCATION ACCOUNT:								
25.	-NH Aggressive Growth Portfolio (Fidelity FDS)	None	J	T	Buy (add'l)	01/30/14	J		
26.					Buy (add'l)	02/27/14	J		
27.					Buy (add'l)	03/31/14	J		
28.					Buy (add'l)	04/30/14	J		
29.					Buy (add'l)	05/30/14	J		
30.					Buy (add'l)	06/30/14	J		
31.					Buy (add'l)	07/31/14	J		
32.					Buy (add'l)	08/29/14	J		
33.					Buy (add'l)	09/30/14	J		
34.					Buy (add'l)	10/30/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	11/28/14	J		
36.					Buy (add'l)	12/31/14	J		
37.									
38. FIDELITY EDUCATION ACCOUNT:									
39. -NH Aggressive Growth Portfolio (Fidelity FDS)		None	J	T	Buy (add'l)	01/30/14	J		
40.					Buy (add'l)	02/27/14	J		
41.					Buy (add'l)	03/31/14	J		
42.					Buy (add'l)	04/30/14	J		
43.					Buy (add'l)	05/30/14	J		
44.					Buy (add'l)	06/30/14	J		
45.					Buy (add'l)	07/31/14	J		
46.					Buy (add'l)	08/29/14	J		
47.					Buy (add'l)	09/30/14	J		
48.					Buy (add'l)	10/30/14	J		
49.					Buy (add'l)	11/28/14	J		
50.					Buy (add'l)	12/31/14	J		
51.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

52. FIDELITY EDUCATION ACCOUNT:									
53. -NH Aggressive Growth Portfolio (Fidelity FDS)		None	J	T	Buy (add'l)	01/30/14	J		
54.					Buy (add'l)	02/27/14	J		
55.					Buy (add'l)	03/31/14	J		
56.					Buy (add'l)	04/30/14	J		
57.					Buy (add'l)	05/30/14	J		
58.					Buy (add'l)	06/30/14	J		
59.					Buy (add'l)	07/31/14	J		
60.					Buy (add'l)	08/29/14	J		
61.					Buy (add'l)	09/30/14	J		
62.					Buy (add'l)	10/30/14	J		
63.					Buy (add'l)	11/28/14	J		
64.					Buy (add'l)	12/31/14	J		
65.									
66. FIDELITY INVESTMENTS IRA:									
67. -General Electric Common Stock	A	Dividend	K	T					
68. -Sprtn Total Mkt Indx FID Advantage Class Mutual Fund	B	Dividend	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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Whaley, Robert H.

Date of Report

11/05/2015

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69. -Fidelity Four in One Index Mutual Fund	D	Dividend	N	T					
70. -First Eagle Global Class A Mutual Fund	D	Dividend	M	T					
71. -Vanguard Wellington Investor Mutual Fund (See VIII)	D	Dividend	M	T					
72. -Fidelity Cash Reserve	A	Dividend	J	T					
73.									
74. FIDELITY INVESTMENTS:									
75. -Amgen Inc. Common Stock	A	Dividend	K	T					
76. -Johnson & Johnson Common Stock	A	Dividend	J	T					
77. -Zimmer Holdings Inc. Common Stock	A	Dividend	J	T					
78. -Sprtn Total Mkt Indx FID Advantage Class Mutual Fund	A	Dividend	K	T					
79. -Fidelity Low-Priced Stock Mutual Fund	D	Dividend	M	T					
80. -Vanguard Balanced Index Investor Class Mutual Fund	C	Dividend	M	T					
81. -Vanguard Wellington Investor Mutual Fund	E	Dividend	N	T					
82. -Fidelity Cash Reserves	A	Interest	K	T					
83.									
84. FIDELITY INVESTMENTS IRA:									
85. -Fidelity Cash Reserves	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Whaley, Robert H.

Date of Report

11/05/2015

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86. -Fidelity New Markets Income Mutual Fund	B	Dividend	K	T					
87. -Sprtn Total Mkt Indx FID Advantage Class Mutual Fund	B	Dividend	L	T					
88. -Fidelity Capital & Income Mutual Fund	B	Dividend	J	T					
89. -Fidelity Strategic Income Mutual Fund	A	Dividend	K	T					
90. -Dreyfus Int'l Bond Fund Mutual Fund	B	Dividend	K	T					
91.									
92. Bank of America Money Market Fund	A	Interest	J	T					
93.									
94. MassMutual: GP Life at 69	A	Int./Div.	K	T					
95.									
96. MassMutual: Whole Life		None	L	T					
97.									
98. New York Life:		None	J	T					
99.									
100. CBSSKII, LLC		None	K	U					
101.									
102. WELLS FARGO:									

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

Name of Person Reporting

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103. -American Balanced Fund Mutual Fund	C	Dividend	L	T					
104. -Capital Income Builder Mutual Fund	B	Dividend	K	T					
105. -Income Fund of America Mutual Fund	A	Dividend	K	T					
106. -Investment Company of American Mutual Fund	D	Dividend	M	T					
107. -Cash Sweep Account	A	Interest	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

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11/05/2015

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Page 8, Line 71: Name of mutual fund corrected from Vanguard Wellington Mutual Fund to Vanguard Wellington Investor Mutual Fund.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Whaley, Robert H.

Date of Report

11/05/2015

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Robert H. Whaley**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544